


<input type="checkbox"/> FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE (MODIFIED)		ATTORNEY'S DOCKET NUMBER X16115	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5)	
INTERNATIONAL APPLICATION NO. PCT/US2005/005418	INTERNATIONAL FILING DATE 18 Feb 2005 18.02.2005	PRIORITY DATE CLAIMED 25 Feb 2004 25.02.2004	
TITLE OF INVENTION: 6-SUBSTITUTED 2,3,4,5-TETRAHYDRO-1H-BENZO[D]AZEPINES AS 5-HT2C RECEPTOR AGONISTS			
APPLICANT(S) FOR DO/EO/US: ALLEN John Gordon, BRINER Karin, COHEN Michael Philip, GALKA Christopher Stanley, MARTINEZ-GRAU Maria Angeles, HELLMAN Sarah Lynne, ROTHHAAR Roger Ryan, REINHARD Matthew Robert, RODRIGUEZ Michael John, TIDWELL Michael Wade, VICTOR, Frantz (nmn), WILLIAMS, Andrew Caerwyn, ZHANG, Deyi, BOYD, Steven Amen, CONWAY, Richard Gerard, DEO, Arundhati S., LEE, Wai-man, SIEDEM, Christopher Stephen, SINGH, Ajay, MAZANETZ, Michael Philip			
Applicant herewith submits to the U.S. Designated/Elected Office (DO/EO/US) the following items and other information:			
1. 2. 3. 4. 5. 6. 7. 8. 9. 10. 11.	<div style="display: flex; align-items: center;"> <input style="margin-right: 5px;" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. </div> <div style="display: flex; align-items: center;"> <input style="margin-right: 5px;" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. </div> <div style="display: flex; align-items: center;"> <input style="margin-right: 5px;" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1). </div> <div style="display: flex; align-items: center;"> <input checked="" style="margin-right: 5px;" type="checkbox"/> The US has been elected (Article 31). </div> <div style="display: flex; align-items: center;"> <input checked="" style="margin-right: 5px;" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <div style="margin-left: 20px;"> a. <input style="margin-right: 5px;" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). b. <input style="margin-right: 5px;" type="checkbox"/> has been transmitted by the International Bureau. c. <input checked="" style="margin-right: 5px;" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). </div> </div> <div style="display: flex; align-items: center;"> <input style="margin-right: 5px;" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)). </div> <div style="display: flex; align-items: center;"> <input checked="" style="margin-right: 5px;" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) <div style="margin-left: 20px;"> a. <input style="margin-right: 5px;" type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). b. <input style="margin-right: 5px;" type="checkbox"/> have been transmitted by the International Bureau. c. <input style="margin-right: 5px;" type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" style="margin-right: 5px;" type="checkbox"/> have not been made and will not be made. </div> </div> <div style="display: flex; align-items: center;"> <input style="margin-right: 5px;" type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). </div> <div style="display: flex; align-items: center;"> <input style="margin-right: 5px;" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). </div> <div style="display: flex; align-items: center;"> <input style="margin-right: 5px;" type="checkbox"/> A declaration of the inventors 35 U.S.C. 371(c)(4) was provided in the PCT Request Form. </div> <div style="display: flex; align-items: center;"> <input style="margin-right: 5px;" type="checkbox"/> A copy of the International Preliminary Examination Report (IPER), including any annexes, and, if not in English, an English language translation of the annexes to the IPER under PCT Article 36 (35 U.S.C. 371(c)(5)). </div>		
Items 12. to 18. below concern document(s) or information included:			
12. 13. 14. 15. 16. 17. 18.	<div style="display: flex; align-items: center;"> <input checked="" style="margin-right: 5px;" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. </div> <div style="display: flex; align-items: center;"> <input checked="" style="margin-right: 5px;" type="checkbox"/> Search Report/Written Opinion (ISA/EP) </div> <div style="display: flex; align-items: center;"> <input style="margin-right: 5px;" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. </div> <div style="display: flex; align-items: center;"> <input style="margin-right: 5px;" type="checkbox"/> Assignment has been recorded at reel _____, frame _____. </div> <div style="display: flex; align-items: center;"> <input checked="" style="margin-right: 5px;" type="checkbox"/> A FIRST preliminary amendment. </div> <div style="display: flex; align-items: center;"> <input style="margin-right: 5px;" type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. </div> <div style="display: flex; align-items: center;"> <input style="margin-right: 5px;" type="checkbox"/> A Sequence Listing, 1.821 Statement, and diskette. </div> <div style="display: flex; align-items: center;"> <input style="margin-right: 5px;" type="checkbox"/> A change of power of attorney with attachment. </div> <div style="display: flex; align-items: center;"> <input checked="" style="margin-right: 5px;" type="checkbox"/> Other items or information: <div style="margin-left: 20px;"> Please amend the first page of the specification by inserting the following cross-reference after the title: "This is the national phase application, under 35 USC 371, for PCT/US2005/005418, filed 18 February 2005, which, claims the benefit, under 35 USC 119(e), of US provisional application 60/547,681, filed 25 February 2004." </div> </div>		

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19.	<input checked="" type="checkbox"/>	The following fees are submitted:		CALCULATIONS PTO USE ONLY	
(a)	Basic national fee (37 CFR 1.492(a)).....\$300.00			\$300.00	
(b)	Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....\$0 All other situations.....\$200			\$200.00	
(c)	Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....\$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....\$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB.....\$400 All other situations.....\$500			\$400.00	
TOTAL AMOUNT (a + b + c) =				\$900.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS		NUMBER FILED	NUMBER EXTRA	RATE	
Total claims		22-20=	2	X \$50.00	\$100.00
Independent claims		1-3=		X \$200.00	\$
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$360.00	\$
TOTAL OF ABOVE CALCULATIONS =				\$100.00	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).				\$	
SUBTOTAL =				\$1,000.00	
Processing fee of \$130.00 for furnishing English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31).				\$	
\$40.00 per property +					
TOTAL FEES ENCLOSED =				\$1,000.00	
				Amount to be refunded	\$
				charged	\$
a.		A check in the amount of \$_____ to cover the above fees is enclosed.			
b.	<input checked="" type="checkbox"/>	Please charge my Deposit Account No. 05-0840 in the amount of <u>\$1,000.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed.			
c.	<input checked="" type="checkbox"/>	The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 05-0840. A duplicate copy of this sheet is enclosed.			
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO: ELI LILLY AND COMPANY PATENT DIVISION P.O. BOX 6288 INDIANAPOLIS, INDIANA 46206-6288 _____ Date 45,165 REGISTRATION NUMBER			_____ /R. Craig Tucker/ SIGNATURE R. Craig Tucker _____ 317-433-9829 TELEPHONE NUMBER		 25885 PATENT TRADEMARK OFFICE